

TECHNICIAN PERFORMANCE APPRAISAL PLAN

This Regulation contains the requirements of the National Guard Technician Performance Appraisal System. It is consistent with the requirements of the 5 CFR, Part 430, DOD 1400.25M, CPM Subchapter 430 and National Guard Bureau regulations. It also contains general guidance to be used by managers and supervisors as an aid in appraising technician performance.

	<u>Paragraph</u>	<u>Page</u>
PARTS		
I. GENERAL		
Coverage and scope	A	1
Basic requirements	B	1
Definitions	C	1
Responsibilities	D	2
II. THE APPRAISAL PROCESS		
Performance planning	A	5
Requirements for supervisors and managers	B	5
The performance appraisal	C	6
Trial / probationary period appraisals	D	6
Performance appraisal while on detail	E	6
Postponement of annual performance appraisals	F	6
Records	G	6
Evaluating the effectiveness of the appraisal system	H	7
III. PERSONNEL DECISIONS BASED ON PERFORMANCE APPRAISALS		
General	A	8
Within grade and step increases	B	8
Rewards	C	8
Reassigning, reducing in grade, or removing	D	8
Training	E	8
Trial / probationary period completion	F	8
Promotions	G	8

IV.	UNSATISFACTORY PERFORMANCE		
	Actions based on unsatisfactory performance	A	9
	Requirement	B	9
	Unsatisfactory performance related to alcohol or drug abuse	C	9
	Records	D	9
V.	APPEALS		
	Establishing a State review and appeals board	A	10
	Filing an appeal	B	10
	Appeal processing	C	10
	Board procedures	D	10

		<u>Page</u>
APPENDIX A.	IDENTIFYING CRITICAL ELEMENTS, ESTABLISHING PERFORMANCE STANDARDS AND CONDUCTING THE APPRAISAL	11
B.	GUIDELINES FROM APPRAISING SUPERVISORS AND MANAGERS ON THEIR PERFORMANCE IN EEO	17
C.	SAMPLE LETTER AND FORMAT AND INSTRUCTIONS FOR COMPLETING FORMS	18

TPR 430

PART I. GENERAL

A. Coverage and Scope. This manual establishes the performance appraisal system for all Oklahoma National Guard technicians employed under the provisions of 32 U.S.C. 709 and is consistent with the requirements of 5CFR, Part 430, DOD 1400.25M, CPM Subchapter 430, and NGB TPR 430. Parts I through V of this manual are mandatory requirements. Appendixes A through C contain general guidance to be used by managers and supervisors to aid them in adequately appraising a technician's performance.

B. Basic Requirements. This manual requires that:

1. Written performance standards and major/critical job elements be established for all positions.
2. Technicians be informed of their performance standards and major/critical job elements at the beginning and during each appraisal period.
3. Maintain an ongoing dialogue that will keep technicians informed as to how their performance compares to established performance standards and provide a clear understanding of the level of performance required for a fully successful appraisal.
4. The results of the performance appraisal be used as the basis for training, rewarding, reassigning, within grade and step increases, promoting, reducing in grade, removing, and as a basis for assisting technicians in improving unsatisfactory performance.
5. Actions to reassign, reduce in grade, or remove based on unsatisfactory performance be taken only after the technician has been given a prior thirty-day written notice.
6. No predetermined statistical distributions be used that would prevent a fair appraisal based on established performance standards.
7. A State review and appeals board be established to review and resolve disagreements over assigned appraisals.

C. Definitions.

1. Appraisal. The continuing process by which the technician is kept informed of how his/her performance compares against established performance standards and results in a final performance appraisal at the end of the appraisal period.
2. Appraisal period. The period of time, normally one year but not less than 120 days, for which the technician's performance will be appraised. **Appraisals for OKNG Technicians will begin on the first day of the birth month and end on the last day of the month prior to the birth month.**
3. Appraiser. The individual most responsible for the technician's performance, for establishing performance standards, for counseling the technician on the critical and major elements of the job, and for appraising the technician based on pre-established mutually understood performance standards - the technician's immediate supervisor.
4. Approving official. A manager or supervisor in the technician's chain of command who is at a higher organizational level than the Appraiser. This individual may recommend personnel decisions and actions resulting from the appraisal.

5. Major job element. A major duty or responsibility of the technician's job which, although important, is not considered critical in relation to other aspects of the job.

6. Critical job element. Any component of a technician's job that is of sufficient importance that performance below the fully successful standard established by management requires remedial action and denial of a within-grade increase, and may be the basis for removing or reducing the grade level of that technician. Such action may be taken without regard to performance on other components of the job.

7. Overall performance appraisal. The appraisal assigned at the end of the appraisal period that describes the overall performance level of the technician based on performance of each individual job element.

8. Performance level code. A two-tier, pass/fail criteria assigned to each individual job element during the performance appraisal that denotes the technician's level of achievement compared to the performance standard.

9. Performance standard. A description of the level of achievement, including quality, quantity, and timeliness, necessary for fully successful performance of the duties and responsibilities of the position.

10. Unsatisfactory performance. Performance of a technician that fails to meet performance standards in one or more critical elements of that technician's position.

D. Responsibilities.

1. Chief, National Guard Bureau. The Directorate of Human Resources (NGB-HR) is responsible for the overall administration, improvement, and evaluation of this appraisal system. NGB-HR may require corrective action in those cases when any aspect of a State's performance appraisal system is not in conformance with the requirements of this manual, the CSRA of 1978, or part 430 of the OPM Regulations.

2. Adjutant General. The adjutant general is responsible for:

a. Establishing responsibilities within their respective States for the proper administration and operation of this appraisal system.

b. Insuring that all managers and supervisors are adequately trained in all aspects of performance evaluation under this system.

c. Establishing a state review and appeals board to review and resolve complaints about assigned appraisals.

d. Insuring that when appropriate managers and supervisors are appraised on their performance in furthering equal opportunity goals and objectives.

e. Insuring that performance appraisals do not conform to any predetermined statistical distribution or other arbitrary controls that would prevent a fair evaluation of a technician's performance.

f. Insuring that written performance standards are established for all technician positions including those serving in a trial/probationary period status.

3. Human Resources Office (HRO). The HRO is responsible for:

- a. Administering the appraisal system within the State.
- b. Providing advice and assistance to supervisors and managers during the appraisal process.
- c. Developing and conducting training necessary to insure that all technicians (and non-technicians involved in the appraisal process) are adequately trained in the performance appraisal system.
- d. Notifying supervisors and managers of due dates for technician performance appraisals.
- e. Reviewing completed appraisals for timeliness, completeness, and conformance with the regulatory requirements of this system.
- f. Designating a HRO staff member (excluding clerical staff) to be responsible for the appraisal system.
- g. Keeping necessary records, evaluating the effectiveness of the program at State level, and bringing to the attention of the Adjutant General those areas needing refinement or improvement.
- h. Insuring that necessary personnel actions or decisions based on the performance evaluation are carried out.

4. Supervisors. (Appraisers) will:

- a. In cooperation with their subordinate technicians, establish written performance standards and major/critical job elements for each position. These standards and critical job elements must be consistent with the duties and responsibilities covered in the technician's position description. A copy of the established standards and critical job elements will be provided to the technician and the HRO.
- b. Personally inform technicians of the level of performance required for a fully successful appraisal.
- c. Maintain an ongoing dialogue that will keep technicians informed as to how their performance compares to established performance standards and provide a clear understanding of the level of performance required for a fully successful appraisal.
- d. Assign the annual performance appraisal in accordance with established standards and requirements.
- e. Coordinate the annual performance appraisal with the reviewer before discussion with the technician.

5. Approving Official. Responsible for:

- a. Assisting supervisors in identifying major/critical elements and establishing performance standards.
- b. Reviewing appraisals and insuring that appraisals by subordinate supervisors are accurate, fair, meaningful, and complete.
- c. Participating with appraisers to resolve any disagreements over major/critical elements, performance standards, or the technician's performance appraisal.
- d. Approving or recommending personnel actions and decisions resulting from the performance appraisal in accordance with established procedures.

6. Technicians. Technicians are responsible for:

- a. Participating in the development of performance standards and major/critical job elements.
- b. Advising their supervisors of the need, if necessary, to revise performance standards and major/critical elements during the appraisal period.
- c. Requesting clarification of any element of the job or performance standard not clearly understood.
- d. Identifying work problems and cooperating with the supervisor in resolving any problems, advising the supervisor on special factors and circumstances that should be considered in the appraisal process, and discussing objectives for improving job performance.
- e. Participating actively with the supervisor during discussions of performance throughout the appraisal period.

PART II. THE APPRAISAL PROCESS

A. Performance Planning. At the beginning of the appraisal period, each supervisor will, with technician participation, identify major/critical job element(s) and performance standards. Although technicians will participate in this process, final determinations will be made by the immediate supervisor with the concurrence of the reviewer. Written performance standards need to be kept as simple, objective, and precise as possible. Major/critical job elements, task/duty statements, and expected performance standards will be recorded in blocks 5, 7, and 8 on NGB Form 430(T). They should be updated to reflect significant changes in a position at anytime during the appraisal period. A completed copy of this form will be given to the technician at the beginning of the appraisal period, and as any changes occur.

1. Identification of major job elements. Identification of major job elements is accomplished through an analysis of the duties and responsibilities of each technician's job. Organizational goals and objectives are first identified. Then, the major duties and responsibilities, including important project assignments that contribute to those goals and objectives and for which the technician will be held responsible, are later specified. These are considered the major job elements. Sources of information that may be helpful in identifying major job elements are: job descriptions, mission and functional statements, inspection reports, and locally developed performance requirements. As a minimum, the official position description will be used. Major job elements may be added, deleted, or changed in consultation with the subordinate technician during the appraisal period. (See appendix A).

2. Identification of critical elements. After the major elements have been identified, a determination must be made as to which of the elements are critical elements of the position. An asterisk (*) will be placed beside each element listed in block 5, NGB Form 430(T), identifying critical elements. (See appendix A).

3. Element Value. Omit.

4. Developing the task/duty statements. Once the major and critical job elements have been identified, the next step is to list the specific task/duty statements in block 7. The task/duty statements are used as support to indicate how a major or critical element will be achieved. (See appendix A).

5. Establishing, expected performance standards. When the task/duty statements have been recorded, the next step is to describe in block 8 specific and separate expected performance standards for each of the supporting task/duty statements listed in block 7. The standards listed should describe what a technician must do to be appraised at the "fully successful" level of performance. The performance standards described here should be realistic and attainable and should present a challenge to the technician. To attain this objective, performance standards need to be measurable and consistent with the grade level and duties of the position. When performance standards cannot be expressed in terms of quality, quantity, or timeliness, they may be stated in terms of expected results or manner or method of performance. (See appendix A).

B. Requirements for Supervisors and Managers. Major/critical element(s) and performance standards for supervisors and managers should reflect organizational as well as individual duties and responsibilities. Furthering equal employment opportunity (EEO) will be identified as a major or critical element for all technicians who are responsible for appraising the performance of one or more technicians. See appendix B for guidelines on appraising performance in EEO. When applicable to the position, performance standards should be established to measure organizational accomplishments of supervisors and managers as well as individual performance; i.e., improvement in efficiency, productivity, and quality of work or service, including any significant reduction in paper work; cost efficiency; and other indications of the effectiveness, productivity, and performance quality of the technicians for whom the supervisor or manager is responsible.

C. The Performance Appraisal. At the end of the appraisal period, the supervisor will review the technician's performance in relation to the established standards of two-tier pass/fail, complete line 6 of OKNG Form 430-1, and assign an official rating of "fully successful" or "unsatisfactory".

NOTE: Regardless of the overall appraisal, an individual element appraisal of unsatisfactory on any critical element will result in an overall appraisal of unsatisfactory and remedial action will be required. (See part IV)

D. Trial/Probationary Period Appraisals. New technicians must be carefully observed and appraised during the trial/probationary period to determine whether they have the qualities needed for permanent Government service. During this period, supervisors should provide specific training and assistance to improve the technician's work performance if needed. Supervisors of technicians serving a trial/probationary period will receive an automated notice of completion of trial/probationary period (NGB-03) during the 9th or 10th month of the trial/probationary period from the HRO. This evaluation is not considered an official performance appraisal for the purpose of appeal rights. The purpose of this evaluation is to determine whether the technician has the qualities needed for permanent Government service. The immediate supervisor will check the appropriate block on NGB Form 03 certifying whether the technician is to be retained or not retained. For retention beyond the trial/probationary period, this evaluation must be at least "fully successful." If retention is not recommended, the HRO will then take appropriate action to remove the technician from the Federal service. No portion of this paragraph is to be interpreted as preventing or discouraging the initiation of a removal action at anytime during this trial/probationary period. A technician serving a trial/probationary period will not be given an official performance appraisal until after completing the required 12 months of Federal service. After completing the 12 months of service, he/she would then be given an official performance appraisal in accordance with the established appraisal period.

E. Performance Appraisal While on Detail. When a technician has been officially detailed to another position either to the same or to a different supervisor for a period covering 60 to 120 days, written performance standards and critical job element(s) will be established for this position, and the technician's performance while on the detail will be appraised. The additional appraisals will be given consideration in determining the overall appraisal. NGB Form 430-1 will be used to record this appraisal.

F. Postponement of Annual Performance Appraisals. Annual performance appraisals may be postponed normally for not more than 90 days in circumstances when the immediate supervisor has not had enough time to observe the technician's performance in his/her present assignment because: (1) the supervisor or the technician is newly assigned; (2) the technician has not been performing the regularly assigned work because of extended details or absences; or (3) the technician's performance is temporarily unsatisfactory because of illness, alcoholism, or drug abuse. This 90-day postponement may be extended if circumstances warrant.

G. Records. Official performance records are available for review by the technician concerned. These include, but are not limited to, performance standards, appraisals, certifications in connection with within-grade increase, merit pay documents, incentive awards determinations, merit promotion material, trial/probationary period certification, and other related personnel management documents. Any document that is used in support of a performance appraisal will be placed in a separate envelope and kept in the technician's Official Personnel Folder. During the processing phases of performance appraisals, only individuals directly in the technician's chain of command and those with an official need to know in the performance of their assigned duties will be permitted to review performance appraisals. This applies even after the final action has been accomplished.

H. Evaluating the Effectiveness of the Appraisal System. The records and information outlined in paragraph F will be used to monitor the effectiveness of the State's appraisal system. The HRO is responsible for evaluating appraisal results to insure that the system is being implemented in accordance with this manual. Evaluation should include but is not limited to: (1) timeliness and completeness of appraisals; (2) proper use of critical element(s) and performance standards; (3) insuring that appraisals are valid and not required to conform to any predetermined statistical distribution; and (4) insuring that recommended personnel actions are consistent with the overall appraisal assigned. This data will be used as necessary to refine and improve the State performance appraisals system. In addition, suggestions for improving this system should be brought to the attention of the HRO.

PART III. PERSONNEL DECISIONS BASED ON PERFORMANCE APPRAISALS

- A. General. Appropriate consideration must be given to technician performance appraisals when making certain personnel decisions. At the end of the appraisal period (or anytime during the appraisal period) the appraiser will make recommendations involving the personnel actions or decisions listed in B through G below. The recommendations are subject to review by the approving official.
- B. Within-Grade and Step Increases. To be eligible for a within-grade increase (General Schedule technicians) or a step increase Federal Wage Schedule (FWS technicians) overall performance must be at the fully successful level.
- C. Rewards. Technicians demonstrating an overall level of performance that exceeds the standards established for the position (above the fully successful level) may be recommended for monetary or honorary awards under the technician incentive awards program.
- D. Reassigning, Reducing in Grade, or Removing. (See part IV.)
- E. Training. The performance evaluation process, including on-going dialogue between the supervisor and the technician, may result in the identification of specific training needs. Recommendations for training should not be limited to the less than fully successful performer but to help any technician achieve a higher level of job performance and proficiency. Thus, recommended training may be remedial or developmental in nature.
- F. Trial/Probationary Period Completion. Information gained during the appraisal process will provide the necessary information to assist the supervisor in deciding whether or not to retain a technician beyond the trial/probationary period. A decision to terminate a technician during the trial/probationary period may be made anytime.
- G. Promotions. The performance appraisal will provide useful information for making merit promotion decisions. Past performance should only be considered when the technician's current job and the one for which he/she is being considered have common job-related elements for which the appraisal would be useful. Less than fully successful performance in his/her current job would not necessarily mean the technician could not perform at a higher level in another job with different duties and responsibilities. However, in no case should a technician whose current performance is less than fully successful be recommended for promotion in his/her current position.

PART IV. UNSATISFACTORY PERFORMANCE

A. Actions Based on Unsatisfactory Performance. Technicians will be periodically reminded of the major/critical job elements and expected performance standards for their positions, and will be informed when their performance is unsatisfactory in any element of the job. Technicians will be assisted in improving areas of unsatisfactory performance by counseling, increased supervisory assistance, additional training, etc. However, if the technician's performance in any critical element continues to be unsatisfactory despite efforts by the supervisor manager to improve performance, the technician must be reduced in grade (demoted) or removed from employment. Before initiating an action to reduce in grade or remove a technician based on unsatisfactory performance, consideration should be given to reassignment to another position for which the supervisor feels the technician is qualified. No action based on unsatisfactory performance may be taken until critical job element(s) and performance standards have been identified in writing, the technician has been given a copy of these standards, and the technician has been given an opportunity to improve his/her performance. At any time a technician is not meeting performance expectations, the supervisor will consult with the HRO and implement a Performance Improvement Plan (PIP) for the technician. The PIP must specify the deficiencies, outline the methods to become fully successful, and establish a reasonable time (normally 30 days) for improvement.

B. Requirements. An action to reduce in grade or remove from employment may be initiated anytime by the technician's supervisor if the technician's performance continues to be unsatisfactory in one or more critical job element(s). The supervisor does not need to wait until the end of the appraisal period to initiate these actions. A technician against whom such an action is planned is entitled to:

1. A minimum 30-day advance written notice of the action to be taken (reduction in grade or removal), which identifies the critical job element(s) and instances of unsatisfactory performance on which the action is based. This advance written notice must be concurred on by an official who is in a higher position than the immediate supervisor. (This requirement does not apply when the action is being taken by the Adjutant General). This is not a proposed notice, but is to be considered as a final notice of the action to be taken because before this final step the technician would have been given adequate assistance and time to improve performance.
2. An opportunity to answer orally or in writing to the supervisor or appeal to the State review and appeals board. At the discretion of the State, the effective date of separation or a reduction in grade may be extended awaiting final decision of the Board.
3. If a technician submits a request to his/her supervisor to change an unsatisfactory performance appraisal, the supervisor will carefully review this information and advise the technician in writing whether the unsatisfactory performance appraisal is sustained or will be changed. A request submitted to the State review and appeals board will be handled in accordance with instructions in part V.

C. Unsatisfactory Performance Related to Alcohol or Drug Abuse. unsatisfactory performance related to alcoholism or drug abuse must be handled first in accordance with OMD TPR 792.

D. Records.

1. Action taken. When such an action is taken against a technician, all relevant documentation will be placed in an envelope and filed in the technician's OPF.
2. Action not taken. When an action is not taken, all documentation relating to the unsatisfactory performance appraisal will be assembled and placed in an envelope and filed in the technician's OPF. If the technician's performance continues to be acceptable for a period of one year from the date the original action was initiated, the contents of the entire envelope must be destroyed and any entries or other notations of unsatisfactory performance must be removed from all records.

PART V. APPEALS

A. Establishing a State Review and Appeals Board. The Adjutant General will establish a State review and appeals board consisting of at least three members to provide an impartial review on performance appraisal appeals. Members serving on this board cannot be in the chain of command of the technician who is filing an appeal and should not be in a lower graded position than the technician appealing. The technician is entitled to representation during the board process. Representation on this board may be a matter for negotiation with labor organizations holding exclusive recognition.

B. Filing an Appeal. An appeal based on unsatisfactory performance must be filed within the 30-day advance written notice period outlined in B1 part IV. In reviewing performance appraisal appeals for unsatisfactory performance, the board by majority vote will recommend to The Adjutant General to change the appraisal as requested by the technician or sustain the appraisal without change. When reviewing unsatisfactory performance appraisals, the board will only be concerned with the performance appeal; it will not review the personnel action taken as a result of an unsatisfactory appraisal. The Adjutant General will make the final decision. All members of the board must be present at all times during the hearings, and must participate in deciding on a recommendation. A technician has no appeal rights beyond the State Adjutant General on these matters.

C. Appeal Processing. An appeal to the board is submitted to the chairperson. The written request should be in a military letter format and should contain the following information:

1. Name of the technician
2. Organization
3. The appraisal being appealed
4. Why the appraisal should be changed
5. Date notice received

Note: When all the necessary information is not available, the technician should submit what is available, and state why the other information is not available. The board immediately sends one copy of the appeal request to the HRO.

D. Board Procedures. During the proceedings, the board may admit oral evidence from the technician or the technician's immediate supervisor. Within 15 calendar days, the board will review and submit their recommendations directly to The Adjutant General with an information copy to the HRO. The technician and the technician's representative (if desired by the technician), and the representative of the Adjutant General will submit information the board deems pertinent. Such information may be presented orally, by presentation of witnesses, or in writing. In the submission of evidence, both oral and written information may be submitted to reach a decision, as long as the technician, the technician's representative, and the representative of the Adjutant General are given the opportunity to hear, examine, and reply to the information submitted by the other parties, and are given an opportunity to question the witnesses. If any of these individuals are absent during the oral presentation, the absentee(s) must be furnished in writing any evidence admitted during their absence. The board may not use any written information to render a recommendation until the technician, the technician's representative (if any), and the representative of the Adjutant General have had an opportunity to examine and reply to it. Board members must serve as impartial judges and review each case objectively. They must give consideration to the merits of each case and secure all necessary information. The board may not receive or consider information not directly related to the matter being considered.

APPENDIX A.
IDENTIFYING CRITICAL ELEMENTS, ESTABLISHING PERFORMANCE
STANDARDS AND CONDUCTING THE APPRAISAL

A-1. OVERVIEW

The appraisal process is more than a once-a-year meeting between supervisor and technician during which performance over the past year is evaluated and recorded on an appraisal form. The National Guard Technician Performance Appraisal System requires that the supervisor and subordinate jointly, at the beginning of the appraisal period, review the requirements of the technician's job, identify major and critical job elements, and establish job-related expectations of performance (performance standards). During the appraisal period, the technician will be kept informed as to how he or she is doing in regards to the established expectations. Thus the final step, the overall performance appraisal (rating), should be of no surprise to the technician. Following are the major components of the appraisal process:

- a. Reviewing the job. The technician's job and organization or mission requirements are reviewed and major/critical job elements and task/duty statements for each major/critical element established.
- b. Setting performance standards. Specific expected results are identified for each major/critical element of the job.
- c. Communicating the performance standards. Each technician should understand exactly what is expected of them during the appraisal period. This necessitates ongoing dialogue of the technician's performance and a discussion of how he/she is doing in regards to the previously agreed upon performance standards.
- d. Appraising technician performance. At the end of the appraisal period, performance is discussed with the technician, and the final evaluation (rating) is entered on the appraisal form.
- e. Recommending personnel actions. The annual performance evaluation may require certain personnel actions. (See part III.)

A-2. STEPS FOR SETTING PERFORMANCE STANDARDS

STEP 1: IDENTIFYING MAJOR AND CRITICAL JOB ELEMENTS AND SPECIFIC TASKS AND DUTIES OF EACH ELEMENT.

- a. Gathering information. The technician's position description should be the basic source of information for identifying major and critical elements of the job. From this and the supervisor's knowledge of workload priorities and mission requirements, the major elements of the job can be identified. Job elements are the measurable and observable results or end products of the job and not the steps or activities taken to achieve them.
- b. Listing the major elements of the job. After the technician's significant areas of responsibility (MAJOR JOB ELEMENTS) have been identified, they should be written in block 5 of NGB Form 430(T) as illustrated in example 1. Supervisors may wish to use a copy of the appraisal form as a worksheet when completing blocks 5,7 and 8.

EXAMPLE 1
(Blocks 5,7 and 8 of NGB Form 430(T))

POSITION: Welder WG-10

5. JOB ELEMENT VALUE	6. Element Value	7. TASK/DUTY STATEMENTS	8. EXPECTED PERFORMANCE STANDARDS
*1. Shop Responsibility		Determines work flow and job Progression	Insures smooth and timely workflow through shop with respect to man- hour accountability, assigned priorities, and training requirements. Must achieve 85% direct man-hour accountability, and all priorities must be met.
		Insures needed shop material, supplies, tools etc., are available for job completion	Files relating to supplies are maintained IAW governing regulations. Proper procedures are followed in requesting known supply requirements in advance to avoid downtime. No more than 2 instances of downtime in a 6 month period due to lack of supplies, unless due to circumstances beyond the control of the technician.
*2. Welder's Certification		Maintains qualification as a class A welder according to MIL STD 1595 or equivalent	Performs qualification test annually to the satisfaction of the testing facility in the groups of metals required by the organization.

c. Assuring suitability of job elements. To assure that job elements are suitable, supervisors should be able to answer yes to the following questions:

- Are the elements all-inclusive and understandable?
Is the total job covered?
- Do the elements refer to work activity under the technician's control?
- Are the elements appropriate for the technician's series and grade?
- Are the elements clear and specific?
- Are the elements derived from the overall mission of the organization?

d. Determining critical element(s). Once the major job elements have been identified and listed, those critical element(s) that are absolutely necessary for completing the job should be designated by an asterisk as shown in block 5 of example 1. A critical element of the job is one that is so significantly important that performance below the minimum established standard for that job element outweighs other elements of the job and requires remedial action and denial of a within-grade increase. It may be the basis for removing or reducing the grade level of the employee.

e. Assuring critical element(s) are critical. As a means of checking whether critical element(s) are really critical, supervisors should be able to answer yes to the following questions:

- Are you willing to recommend the removal or demotion of the technician if the performance standard for this element is not met?
- Will substandard performance of this element really affect mission accomplishment?
- Is this element really attainable by the technician? Is this element within the technician's control?

f. Determining task/duty statements. After the technician's major and critical job element(s) have been established, the specific tasks and duties required to accomplish the job element(s) should be grouped together by the major elements they support and listed in block 7 of the performance standards and critical element(s) form as illustrated in example 1.

STEP 2: ESTABLISHING PERFORMANCE STANDARDS.

a. Purpose. Performance standards are a narrative description of the level of achievement for fully successful performance in a particular major/critical job element. In other words, they express how well the major/critical element is to be performed. Performance standards should be objective and measurable and should enable the user to accurately evaluate performance in terms of some end product or outcome. They should describe the fully successful level of performance that will fully satisfy the supervisor's expectations and allow for successful completion of that part of the organization's function and goals for which that particular job is responsible.

b. Ways of expressing performance standards.

- Quality of work. A standard measuring the quality of a task tells how well a task must be performed and is expressed in terms of accuracy, appearance, usefulness, and effectiveness. A quality standard may be expressed as an error rate, such as the number or percentage of errors allowable per unit of work, or as general results to be achieved (if numeral rates are not possible). An example is: "X percent of reports submitted are accepted without revision."

- Quantity of work. This type of standard describes how much work is to be completed within a given time period. An example is: "Conducts X surveys per Y period."

- Timeliness. This type of standard describes “when”, “how soon”, and “within what period” work is to be completed. An example is: “All suggestions evaluated within X days after receipt.”

- Expected results. This type of standard describes a specific result to be obtained, and often uses phrases such as “in order that,” “as shown by,” etc. An example is: “Decisions on supply needs made with sufficient accuracy that no supply item remains in short supply more than X days.”

- Manner of performance. This type of standard is used for positions in which personal contacts are an important factor, or when an employee’s personal attitude, mannerisms, and behavior have an effect on performance. An example is: “Speaks clearly with sufficient volume to be understood by persons attending briefings.”

- Method of doing. This type of standard is used when there is a set procedure for accomplishing a task and when the use of other than the prescribed procedure would be unsatisfactory. An example is: “Forms completed in accordance with office directives.”

c. Assuring completeness of prepared standards. To assure completeness of prepared standards, supervisors should be able to answer yes to the following questions:

- Are tasks clearly and simply stated, and do they cover all critical element(s) major duties?
- Do standards clearly state how well (quality), how soon (timeliness), and in what manner each task should be performed? Where feasible, are work units used, and do they allow a reasonable margin or tolerance? The standard should be one that is measurable and should enable the supervisor to evaluate performance based on something quantifiable.
- Do standards truly reflect fully successful performance? Are they attainable?
- Will adequate performance as shown in the standards produce the required results?
- Do standards clearly reflect management’s requirements in terms of observance of rules and regulations and safety responsibilities?
- Do standards show how much and how well the technician is expected to do without using qualifying statements such as “knows,” “is able to”.
- Are standards written so that unsatisfactory performance can clearly be identified and remedial action justified?
- Were all tasks and standards discussed with the technician(s) before arriving at a decision? Have the standards been discussed with the next level of supervision to insure that they are in line with other office or unit of the organization?
- Do standards for supervisory jobs reflect such required factors as leadership, decision making, planning and organizing, managing positions, selecting and assigning technicians, training/developing subordinates, using incentives, maintaining technician management communications, administering constructive discipline, administering leave, promoting safety, and EEO?

A-3. CONDUCTING THE APPRAISAL

a. Performance counseling. Supervisors should frequently praise and encourage technicians who are meeting objectives, and assist technicians who are not. Supervisors should never wait until the formal performance appraisal (end of rating period) to tell a technician that performance was not successful; the technician should be told of a problem as soon as the supervisor is aware of one.

Here are a few general rules for performance appraisal counseling:

- Focus Discussion on Behavior Rather Than the Person. It is important that supervisors discuss what the technician does rather than what the technician is.
- Focus Discussion on Observations Rather Than Opinions. Observations refer to what you can see or hear in the behavior of the technician (“You hesitated for several minutes before making your presentation” as compared to the opinion that “You don’t seem to know your subject”). Opinions and/or conclusions about a technician contaminate observations, this clouding the feedback. When an opinion is offered, and it may be valuable to do this sometimes, it is important that it be identified as an opinion.
- Focus Discussion on What Was Done Rather Than Why It Was Done. When you relate the discussion to the “how,” “when,” or “what” was done, it is related to observable behavior. If you relate the discussion to why things were done, discussion goes from the observable to bringing up questions of motive or intent, which can lead to bringing about hard feelings. Supervisors should always give feedback based on the observed actions and not on the assumed intent.
- Focus Discussions on Behavior Related to a Specific Situation, Rather than the “Here and Now”. Everything people do is related in some way to time and place. Discussion will be most meaningful if you give the feedback as soon as the performance is observed and tie it to the specific situation observed.
- Focus Discussion on the Sharing of Ideas and Information. By sharing ideas and information, the supervisor leaves the technician free to decide how to use the ideas in light of his or her own objectives. On the other hand, when the supervisor gives advice, the technician is told what to do with the information. In effect, the technician’s freedom to determine the right or appropriate course of action is taken away. If the technician is able to choose his or her own proper course of action (i.e., “ownership”), more commitment to achieving success will usually result.
- Focus Performance Appraisal Discussion at the Appropriate Time. Because receiving and using feedback may involve possible emotional reactions, it is important for the supervisor to be sensitive to the right time and place to give an evaluation. Excellent performance information given at an inappropriate time may do more harm than good.

b. Performance appraisal discussion. The goal of the performance appraisal discussion is mutual understanding of actual performance results by the technician (in comparison with the supervisor’s expectations as stated in the established standards) and future actions for future improvement. These include: specific efforts to improve performance in areas of identified weakness; identification of training and developmental activities, both short-term and long-term, to remedy deficiencies and/or expand skills and knowledge for career growth; and review of job elements and performance standards to insure currency and to establish performance goals for the next year. There are four basic requirements for a successful performance appraisal discussion:

(1) Adequate Preparation. This should be a natural result of the performance appraisal process and the establishment of a record of performance history throughout the appraisal period.

(2) Adequate Time. The discussion should be scheduled in advance, far enough ahead to enable the employee to be adequately prepared for the discussion. Also, there should be enough time allotted for the meeting so that an unhurried discussion can take place. (Remember—the outcome of this meeting could be very important to the employee's career).

(3) Privacy. The only persons present at the discussion should be the supervisor and the technician being rated, and the supervisor should insure that the meeting is not interrupted by visitors or telephone calls.

(4) Objectivity. Clearly, no one is or can be absolutely objective—but the use of well-developed performance standards should greatly aid the supervisor in this regard. The greater the degree of objectivity in the appraisal, the greater the degree of acceptance by the technician. Knowledge of the performance objectives to be achieved and of current performance in comparison with desired performance objectives will enhance objectivity.

c. Accomplishing the official annual performance appraisal. The first step for the supervisor in accomplishing the official annual performance appraisal (rating) is to review blocks 5,7, and 8 of NGB Form 430(T) and the annotated record (actual documented instances of performance) maintained throughout the appraisal period. Next, it is a good idea of the supervisor to discuss the appraisal with his/her supervisor (approving official) before discussing it with the technician. This will give the supervisor an opportunity to obtain the view of his/her boss, who may have a different and broader perspective, and will provide a chance to settle any differences of opinion that may exist. Lastly, the supervisor should discuss the formal rating with the technician with the goals of arriving at a mutual understanding of supervisory expectations, the level of accomplishment attained by the employee, and future actions for improvement. At this point, the supervisor should have enough information to put the finishing touches to the appraisal by completing OKNG Form 430-1.

APPENDIX B - GUIDELINES FOR APPRAISING SUPERVISORS AND MANAGERS ON THEIR PERFORMANCE IN EEO

Performance standards for furthering Equal Employment Opportunity (EEO) will be appropriate to the technician's position and should be stated in terms of visible affirmative efforts. Therefore, the following guidelines should be used when appraising managers and supervisors on their performance in EEO:

- a. Has the manager/supervisor communicated to all subordinates in writing his/her commitment to EEO and what is expected from each member of the work force?
- b. Has the manager/supervisor discussed the State EEO affirmative action plan with subordinates and solicited recommendations for implementation, modification, or improvements?
- c. What specific actions has the manager/supervisor taken to identify and eliminate any barriers to the employment and advancement of minorities and women?
- d. Do the managers/supervisors support the state's plan, including goals and timetables, to address identified problem areas within the work force?
- e. Does a review of the manager's/supervisor's decisions relative to selection, training, and awards indicate that full consideration is being given to all employees?
- f. What actions has the manager/supervisor taken to provide upward mobility opportunities for eligible technicians in the work force?
- g. Has the manager/supervisor insured that the complaints processing poster is posted on the bulletin board?
- h. What specific affirmative steps, including setting a personal example, has the manager/supervisor taken to assure the acceptance of all technicians?
- i. Does the manager/supervisor maintain records that show formal EEO training of all subordinate managers/supervisors including both initial and updated orientation?
- j. Does the record indicate that the manager/supervisor assigns like penalties for like offenses regardless of race, color, religion, sex, national origin, age, or other non-merit factor?

APPENDIX C - SAMPLE LETTER AND FORMAT AND
INSTRUCTIONS FOR COMPLETING FORMS

This appendix contains a sample notice of decision based on unsatisfactory performance. It also contains instructions for completing NGB Form 430(T) and OKNG Form 430-1.

C-1. SAMPLE NOTICE OF WRITTEN DECISION BASED ON UNSATISFACTORY PERFORMANCE

Appropriate Letterhead

SUBJECT: Decision to Remove/Reduce in Grade (Unsatisfactory Performance)

TO: (Name, organization)

1. On 1 Jan 20__, you and I established written performance standards and identified critical job element(s) for your position of aircraft mechanic, WG-000-00. At that time you signed NGB Form 430 (T) indicating that you and I had discussed these standards and critical element(s).
2. On 2 March 20__ I informed you orally and in writing that your performance regarding critical element No. __ pertaining to _____ was unsatisfactory because you had failed to (list here specific instances of unsatisfactory performance on which this action is based). On 16 March 19__ I provided you with specific written instructions on how to improve your performance on this critical job element.
3. Despite counseling and on-the-job training, your performance on this critical job element continues to be unsatisfactory. Therefore, effective on (date) you will be terminated from your employment as an aircraft mechanic.
4. During this notice period, you may answer this notice personally to me within 10 workdays, or you may appeal the unsatisfactory performance appraisal to the State review and appeals board Should you answer to me or appeal to the board, you will be given a final determination within __ days.
5. Unless your official performance appraisal of unsatisfactory is changed by me or the board, you will be terminated on the date shown in paragraph 3, unless an extension has been granted.

(Signature and Identification)

C-2. INSTRUCTIONS FOR COMPLETING NGB FORM 430(T) AND OKNG FORM 430-1
NGB FORM 430(T)

Blocks 1 through 4 - Self-explanatory.

Block 5 - Enter the major job elements from the technician's position description, mission/functional statements, or locally developed performance requirements. Identify critical element(s) with an asterisk.

Block 6 - Leave Blank.

Block 7 - Enter the task/duty statements. This information will describe how the major and critical job element(s) will be achieved. NOTE: Some jobs will not, in all cases, require a task/duty statement due to the nature of the job. In these situations, the job element listed in Block 5 will serve the same purpose.

Block 8 - Enter specific and separate expected performance standards for each of the supporting task/duty statements listed in Block 7. If a task/duty statement was not listed in Block 7, enter here the expected performance standard for the job element(s) listed in Block 5.

After the expected performance standards have been recorded in Block 8 the supervisor (appraiser) and the technician will sign the Form. The reviewer is only required to sign when there is a disagreement between the supervisor and the technician regarding the written standards and critical or major job element(s), or when the technician refuses to sign. The technician's signature on this Form indicates only that he or she has discussed the performance standards and critical element(s) with the supervisor. It does not constitute agreement. The technician and the HRO are provided a copy of this Form at the time it is signed and dated.

Block 9 - 11 - Self-explanatory.

OKNG FORM 430-1

Blocks 1 through 9 - Self-explanatory.

OKLAHOMA NATIONAL GUARD TECHNICIAN EVALUATION

1. Name: _____

2. Position/Title/and Grade: _____

3. Name and Location of Duty Position: _____

4. Rating Period:

From: _____

To: _____

5. Date of Discussion with Supervisor: _____

6. **OFFICIAL RATING:** Fully Successful _____ Unsatisfactory _____

7. Supervisor's Signature _____ Date _____

8. Employee's Signature _____ Date _____

9. Approving Official's Signature _____ Date _____

Distribution

Original - Employee

Copy - 1st Line Supervisor

Copy - OKHRO-ES

Users of this TPR are invited to send comments and suggestions for improving this document. Please address comments to the Oklahoma Military Department, ATTN: HRO, 3501 Military Circle, Oklahoma City, OK 73111-4398.

FOR THE ADJUTANT GENERAL:

WILLIAM W. CARTER
LTC, FA, OKARNG
Personnel Officer